

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Se-Jin Lee, *et al.*  
Serial No.: 09/485,045  
Filed: January 31, 2000  
Title: GROWTH DIFFERENTIATION FACTOR-16

Art Unit: 1646  
Examiner Not Assigned

Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231



TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing in connection with the above-identified patent application,  
please find the following:

- (1) Request for Corrected Filing Receipt;
- (2) Filing Receipt reflecting changes;
- (3) Verified Statement (Declaration) Claiming Small Entity Status; and
- (4) Return postcard.

CERTIFICATION UNDER 37 CFR §1.8

I hereby certify that the documents referred to as enclosed herein are  
being deposited with the United States Postal Service as first class  
mail on this date, October 2, 2000, in an envelope addressed  
to:

Commissioner for Patents, Washington, D.C. 20231

Lucille M. Begalla  
(Name of Person mailing Paper)

Lucille M. Begalla  
(Signature of Person Mailing Paper)

10/2/00  
Date

In re Application: Se-Jin Lee, *et al.*

Application No.: 09/485,045

Filed: January 31, 2000

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PATENT

Attorney Docket No. JHU1440-1

No fee is deemed necessary in connection with the filing of this paper. However, if any fee is required, the Commissioner is hereby authorized to charge the amount of this fee, or credit any overpayments, to Deposit Account No. 50-1355. A copy of this Transmittal Letter is enclosed.

Respectfully submitted,

Date: 10/2/00



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104659-159642

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Applicant: Se-Jin Lee, *et al.* Art Unit: 1646  
Serial No.: 09/485,045 Examiner: Not Assigned  
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Washington, D.C. 20231



**REQUEST FOR CORRECTION OF FILING RECEIPT**

Sir:

This Communication is submitted to request correction of the filing receipt in reference to the above-identified application. The data requiring correction is indicated in yellow highlight on the attached copy of the filing receipt and herein in **BOLD**.

Please note that in our Request for Corrected Filing Receipt filed on July 14, 2000, Applicants requested that the filing date be corrected from May 12, 2000 to January 31, 2000. Please disregard the request as the correct filing date is **May 12, 2000** (the date that the Response to Notice to File Missing Requirements was filed).

CERTIFICATION UNDER 37 CFR §1.8	
I hereby certify that the documents referred to as enclosed herein are being deposited with the United States Postal Service as first class mail on this date. <b>October 2, 2000</b> , in an envelope addressed to:	
Commissioner for Patents, Washington, D.C. 20231	
<i>W. M. Bealla</i> (Name of Person mailing Paper)	
<i>W. M. Bealla</i> (Signature of Person Mailing Paper)	10/2/00 Date

## FILING RECEIPT



\*OC00000005214591\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/485,045	05/12/2000	1646	990	JHU1440-1	-	42	4

LISA A HAILE  
GRAY CARY WARE & FRIEDENRICH  
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Date Mailed: 06/30/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

## Applicant(s)

SE-JIN LEE, BALTIMORE, MD ;  
THANH HUYNH, BALTIMORE, MD ;  
SUZANNE SEBALD, JESSUP, MD ;

## Continuing Data as Claimed by Applicant

THIS APPLICATION IS A 371 OF PCT/US98/15148 07/24/1998  
WHICH CLAIMS BENEFIT OF 60/054,606 07/31/1997

## Foreign Applications

If Required, Foreign Filing License Granted 06/30/2000

-SMALL ENTITY

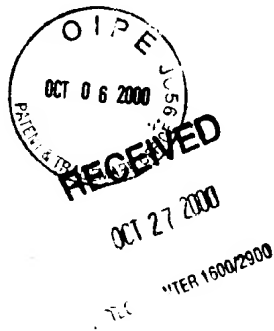
## Title

GROWTH DIFFERENTIATION FACTOR-16

## Preliminary Class

424

Attorney Docket No.: JHU1440-1  
Applicant or Patentee: Se-Jin Lee et al.  
Serial No. or Patent No.: 09/485,045  
Filed or Issued: January 31, 2000  
Title: GROWTH DIFFERENTIATION FACTOR-16



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 C.F.R. §§1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: THE JOHNS HOPKINS UNIVERSITY SCHOOL OF MEDICINE  
ADDRESS OF ORGANIZATION: 111 Market Place, Suite 906, Baltimore, MD 21202

TYPE OF ORGANIZATION

- ☒ University or other Institution of Higher Education  
☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3))  
☐ Nonprofit Scientific or Educational under Statute of State of the United States of America (Name of State \_\_\_\_\_) (Citation of Statute \_\_\_\_\_)  
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3)) if located in the United States of America  
☐ Would qualify as nonprofit Scientific or Educational under Statute of State of the United States of America if located in the United States of America (Name of State \_\_\_\_\_) (Citation of Statute \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled **GROWTH DIFFERENTIATION FACTOR-16** by inventors Se-Jin Lee, Thanh Huynh, and Suzanne Sebald, for the following invention:

- ☐ the specification filed herewith  
☒ application Serial No. 09/485,045 filed January 31, 2000  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

I authorize and request insertion of the serial number of the application when officially known.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. §1.27).

Full Name \_\_\_\_\_  
Address \_\_\_\_\_  
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Nina Ossanna, Ph.D.  
TITLE IN ORGANIZATION Director  
ADDRESS OF PERSON SIGNING 111 Market Place, Suite 906, Baltimore, MD 21201

SIGNATURE  
Cary/GTV6169931.1  
104659-990000

DATE 3/6/00

GTV6169987.1  
104659-990000